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PATENT  
Attorney Docket No.: 387953

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) William Barber, et al.

Serial No. 09/578,631

Filed May 25, 2000

For Disk Dispensing and Retrieval System  
and Associated Methods

Examiner Asfand M. Sheikh

Group Art No. 3627

Confirmation No. 5757

February 19, 2007

Mail Stop: Amendment  
Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

Dear Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.97(b), or  
(Within three months of filing national application, or date of entry of national application, or before mailing date of first office action on the merits, whichever occurs last)
- ☒ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☒ a \$180 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:  
☐ Statement under 37 CFR 1.97(e)(1) or (2), and  
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action, a notice of allowance, on or before payment of issue fee)

Please charge to Deposit Account 12-0600 the sum of \$180.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 12-0600 pursuant to 37 CFR 1.25.

☐ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with copies of non-U.S. patents, publications or other information (if any) of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of the application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counter part foreign application, an

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PATENT  
Attorney Docket No.: 387953

English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

LATHROP & GAGE LC

  
Heather F. Perrin, Reg. No. 52,884  
4845 Pearl East Circle, Suite 300  
Boulder, Colorado 80301  
Tel No: (720) 931-3033  
Fax No: (720) 931-3001



4845 Pearl East Circle  
Suite 300  
Boulder, CO 80301  
(720) 931-3000, Fax (720) 931-3001

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Building 82, Suite 1000  
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February 19, 2007

From: Heather F. Perrin

Matter No.: 387953

To:	Company:	Fax Number:	Phone Number:
Mail Stop: Amendment, Attn: Examiner McAllister	U.S. Patent Office	(571) 273-8300	

Number of Pages Transmitted (including this cover sheet): 8

Message:

Applicant(s): William H. Barber et al.

Serial No.: 09/578,631

Filed: 25 May 2000

For: DISK DISPENSING AND  
RETRIEVAL SYSTEM AND  
ASSOCIATED METHODS

Group Art No.: 3627

Examiner: Asfand M. Sheikh

Confirmation No. 5757

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Fax Attendant: *Karen*

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<b>CERTIFICATE OF FACSIMILE TRANSMISSION 37 CFR 1.8</b>			Matter No. 387953
Applicant(s): William H. Barber			
Serial No. 09/578,631	Filing Date May 25, 2000	Examiner Asfand M. Sheikh	Group Art Unit 3627
Invention      Disk Dispensing And Retrieval System And Associated Methods			
<p>I hereby certify that the following: Facsimile Cover Sheet (1 page); Transmittal Form (1 page); Information Disclosure Statement Transmittal (2 pages); Information Disclosure Statement by Applicant (1 page); Fee Transmittal for FY 2006 (1 page in duplicate); authorization to charge Deposit Account No. 12-0600 in the amount of \$180.00 for the late filing of IDS; authorization to charge additional fees that may be required, or credit any overpayment, to Deposit Account No. 12-0600; are being sent via facsimile transmission to Mail Stop: Amendment, c/o the Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 19th day of February, 2007</p> <p>_____ Karen Jodzio-Head Name of Transmitter</p> <p>_____ <i>Karen Jodzio-Head</i> Signature of Transmitter</p> <p>_____ (571) 273-8300 Facsimile No.</p>			

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>TRANSMITTAL FORM</b>	Application Number	09/578,631
	Filing Date	May 25, 2000
	First Named Inventor	William H. Barber
	Art Unit	3627
	Examiner Name	Asfand M. Sheikh
Total Number of Pages in This Submission		8
Attorney Docket Number		387953

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Information Disclosure Statement Transmittal Certificate of Facsimile Facsimile Cover Sheet
<div style="border: 1px solid black; padding: 2px;">Remarks</div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm	LATHROP & GAGE LC		
Signature	<i>Hester F. Perlin</i>		
Printed Name	Hester F. Perlin		
Date	February 19, 2007	Reg. No.	62884

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Signature	<i>Karen Jodzilo-Head</i>	Date	
Typed or printed name	Karen Jodzilo-Head	Date	February 19, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/08A (07-05)

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	1
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**Complete if Known**

Application Number	09/578,631
Filing Date	May 25, 2000
First Named Inventor	William Barber
Art Unit	3627
Examiner Name	Asfand M. Sheikh
Attorney Docket Number	387953

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature	/Astand Sheikh/	Date Considered	08/01/2008
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**EXAMINER:** Initial if reference contained; whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and note discrepancy. Indicate copy of this form with next communication to applicant.

**APPLICANT:** Applicant's unique citation designation number (optional). Give Kind Code (e.g., A), Office Number (e.g., JP 97-0000000), and Japanese patent document, e.g., [www.uspatents.com](http://www.uspatents.com) or WIPO 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. Applicant is to place checkmark in box.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or claim a benefit by the public which is to file (and to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, the amount of time you require to complete this form and/or suggestions for reducing this burden, should vary depending upon the individual case. Any comments on this form should be sent to the Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22315-1450. Do NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22315-1450.

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PTO/SB/17 (12-04v2)

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Approved for use through 07/31/2008. OMB 0651-0032  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Effective on 12/08/2004.  
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

## FEE TRANSMITTAL for FY 2005

☒ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$) **\$180.00**

### Complete If Known

Application Number	09/676,831
Filing Date	May 25, 2000
First Named Inventor	William H. Barber
Examiner Name	Astond M. Sheikh
Art Unit	3827
Attorney Contact No	387953

### METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify) :

☒ Deposit Account Deposit Account Number: 12-0600 Deposit Account Name: LATHROP & GAGE LC

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below

☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fee(s)

☒ Credit any overpayments

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### FEE CALCULATION

#### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Small Entity	Fee (\$)	Small Entity	Fee (\$)	Small Entity	Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

#### 2. EXCESS CLAIM FEES

##### Fee Description

Each claim over 20 (including Reissues)  
Each independent claim over 30 (including Reissues)  
Multiple dependent claims

**Total Claims** **Extra Claims** **Fee (\$)** **Fees Paid (\$)**

— 20 or HP = x =

HP = highest number of total claims paid for, if greater than 20.

**Indep. Claims** **Extra Claims** **Fee (\$)** **Fees Paid (\$)**

— 3 or HP = x =

HP = highest number of independent claims paid for, if greater than 3.

##### Small Entity

**Fee (\$)** **Fees Paid (\$)**  
50 25  
200 100  
360 180

##### Multiple Dependent Claims

**Fee (\$)** **Fees Paid (\$)**

#### 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequences or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

**Total Sheets** **Extra Sheets** **Number of each additional 50 or fraction thereof** **Fee (\$)** **Fees Paid (\$)**  
— 100 = / 50 = (round up to a whole number) x =

#### 4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Late filing of IDS

**Fees Paid (\$)**

**\$180**

### SUBMITTED BY

Signature	<i>Heather F. Porm</i>	Registration No. (Attorney/Agent)	62,884	Telephone	(720) 531-3033
Name (Print/Type)	Heather F. Porm	Date	February 19, 2007		

This collection of information is required by 37 CFR 1.130. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is provided by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Effective on 12/08/2004.  
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4813).

## FEE TRANSMITTAL for FY 2005

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) \$180.00

**Complete If Known**

Application Number	09/578,631
Filing Date	May 25, 2000
First Named Inventor	William H. Barber
Examiner Name	Asfand M. Snelkh
Art Unit	3627
Attorney Docket No.	887953

**METHOD OF PAYMENT (check all that apply)**

- ☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_
- ☒ Deposit Account Deposit Account Number: 12-0500 Deposit Account Name: LATHROP & GAGE LC
- For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)
- ☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee
- ☒ Charge any additional fee(s) or underpayments of fee(s) ☒ Credit any overpayments
- Under 37 CFR 1.16 and 1.17

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**FEE CALCULATION**

**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Small Entity	Fee(\$)	Small Entity	Fee(\$)	Small Entity	Fee(\$)	
Utility	300	150	500	250	200	100	_____
Design	200	100	100	50	130	65	_____
Plant	200	100	300	150	160	80	_____
Reissue	300	150	500	250	600	300	_____
Provisional	200	100	0	0	0	0	_____

**2. EXCESS CLAIM FEES**

**Fee Description**

Each claim over 20 (including Reissues)  
Each independent claim over 30 (including Reissues)  
Multiple dependent claims

Total Claims	Extra Claims	Fee(\$)	Fee Paid (\$)
_____ - 20 or HP= _____	x _____	= _____	_____

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	Extra Claims	Fee(\$)	Fee Paid (\$)
_____ - 3 or HP= _____	x _____	= _____	_____

HP = highest number of independent claims paid for, if greater than 3.

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(X) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
_____ - 100 = _____ / 50 = _____	(round up to a whole number) x _____	= _____	_____	_____

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Late filing of IDS

\$180

**SUBMITTED BY**

Signature	<i>Heather F. Perin</i>	Registration No.	\$2,854	Telephone	(720) 831-3003
Name (Print/Type)	Heather F. Perin	Attorney/Agent		Date	February 19, 2007

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is in file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is exempted to take 30 minutes in complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES.

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